

JC498 U.S. PTO
12/21/01



EV 010195505 US
12/21/2001

12-21-2001
U.S. Patent & TMO/TM Mail Rpt Dt. #70

APPROVED
PTO DEPOSIT ACCOUNT CHARGE
ACCOUNT # 04-1/00
PTO/SB/05/11-00)
Approved for use through 10/31/2002. OMB 0751-0032
Patent and Trademark Office-U.S. DEPARTMENT OF COMMERCE
DUNLAP & CODDING, P.C.

10971 U.S. PTO
10/033278
12/21/01

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 5820.617
First Inventor Richard Mallinson, et al.
Title APPARATUS FOR STREAM CONVERSIONS AND METHODS OF USE
Express Mail Label No. EV 010195505 US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 66]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description - Redline Specification 57 pgs
- Clean Specification 57 pgs
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 12]
5. Oath or Declaration [Total Pages 5]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Copy of Notice to File Continuation Application.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09/597,289

Prior application information:

Examiner K. Mayekar

Group Art Unit: 1741

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label ☒ Correspondence address below

Name Dunlap, Coddling & Rogers, P.C.
Address 9400 North Broadway, Suite 420
City Oklahoma City State OK Zip Code 73114
Telephone (405) 478-5344 Fax (405) 478-5349
Country USA

Name (Print/Type) Douglas J. Sorocco Registration No. (Attorney/Agent) 43,145
Signature [Signature] Date 12/21/2001

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Commissioner for Patents
Washington, D.C. 20231



APPROVED

12-21-2001

EV 010195505 US
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PTO DEPOSIT ACCOUNT CHARGE

ACCOUNT # 400-17-0

PTO/SB 17 (11-00)

0651-0032

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**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 640)

Complete if Known

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	Richard Mallinson, et al.
Examiner Name	Not Yet Assigned
Group Art Unit	Unknown
Attorney Docket No.	5820.617

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 04-1700
Deposit Account Name: Dunlap, Coddling & Rogers, P.C.

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	70	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 370)

2. EXTRA CLAIM FEES

Total Claims		Extra Claims		Fee from below	Fee Paid
Independent	Claims	Fee	Fee		
50	20	** = 30	X 9	= 270	
3	3	** = 0	X 42	= 0	
Mult. Dependent		=	X	= 0	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 270)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

SUBMITTED BY

Name (Print/Type) Douglas J. Sorocco

Registration No
(Attorney/Agent)

43,145

Complete (if applicable)

Telephone (405) 478-5344

Signature

Date 12/21/2001

Box Patent Application
Commissioner for Patents

SEND TO: Washington, D.C. 20231

12/21/2001

PATENT APPLICATION FEE DETERMINATION RECORD					Application or Docket Number 5820.617		
CLAIMS AS FILED - PART I					SMALL ENTITY OR OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)					
FOR	NUMBER FILED	NUMBER EXTRA			RATE	FEE	
BASIC FEE (37 CFR 1.16(a))						\$ 370	
TOTAL CLAIMS (37 CFR 1.16(c))		50	minus 20 =	* 30	x \$ 9 =	270	
INDEPENDENT CLAIMS (37 CFR 1.16(b))		3	minus 3 =	* 0	x 42 =	0	
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))		0			+ 140 =	0	
					TOTAL	640	
					OR	TOTAL 0	
* If the difference in column 1 is less than zero, enter "0" in column 2							
CLAIMS AS AMENDED - PART II					SMALL ENTITY OR OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)		(Column 3)			
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA		RATE	ADDITIONAL FEE	
	Total (37 CFR 1.16(c))	*	Minus	** 20	=	0	
	Independent (37 CFR 1.16(b))	*	Minus	*** 3	=	0	
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))					+ 140 =	0
						TOTAL	0
					OR	TOTAL 0	
(Column 1)		(Column 2)		(Column 3)			
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA		RATE	ADDITIONAL FEE	
	Total (37 CFR 1.16(c))	*	Minus	**	=	0	
	Independent (37 CFR 1.16(b))	*	Minus	***	=	0	
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))					+ 140 =	0
						TOTAL	0
					OR	TOTAL 0	
(Column 1)		(Column 2)		(Column 3)			
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA		RATE	ADDITIONAL FEE	
	Total (37 CFR 1.16(c))	*	Minus	**	=	0	
	Independent (37 CFR 1.16(b))	*	Minus	***	=	0	
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))					+ 140 =	0
						TOTAL	0
					OR	TOTAL 0	

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.
 ** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".
 *** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".
 The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

SEND TO: Box Fee Application
 Commissioner For Patents
 Washington, DC 20231

Express Mail No. EV 010195482 US
Date Deposited 12/21/2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Richard G. Mallinson, et al.

Serial No.: 09/597,289

Group No.: 1741

Filed: June 20, 2000

Examiner: K. Mayekar

For: APPARATUS FOR STREAM
CONVERSION AND METHODS
OF USE

Atty. Dkt. No. 5820.568

Commissioner for Patents
Washington, D. C. 20231

**NOTIFICATION OF FILING OF CONTINUING
OR DIVISIONAL APPLICATION**

Notification is hereby being made of the filing of a:

☒ continuation

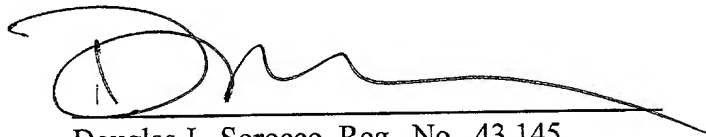
☐ continuation-in-part

☐ divisional

application for this case

☐ concurrently herewith

☒ on 12/21/2001
(date)



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